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**厦门大学**

博士学位论文

**社会保护政策的兴起**  
**——理论基础与实践经验的研究**

**The Rise of Social Protection Policy**  
**Theoretical Basis and Practical Experience**

**赵会**

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## 摘要

社会保护（Social Protection）是20世纪90年代末期以来在国际发展议程中兴起的一个新的主题，且使用频率快速增加，大有取代一直以来在国际社会政策研究中占据主导地位的社会保障（Social Security）之势。相比之下在中国，社会保护并未获得足够重视，其使用频率还非常的低。国外已有的大量实践经验，为我们开展这方面的研究提供了很好的样本。鉴于此，本研究选取了社会保护这一新兴领域作为研究对象，通过从理论与实践两方面对国外社会保护政策的研究，旨在为中国社会保障制度的改革提供借鉴。

本研究首先从梳理社会保护的发展演进历程入手，探析社会保护是如何从最早期的正式社会保险一步一步演变到目前的社会保护的，期间经历的漫长、曲折的演进历程深刻地反映了社会发展需求的变化。可以说，社会保护政策在国际发展议程中的兴起，既是对传统社会政策在应对贫困问题方面的无效性的反思，同时也是对全球化背景下日益增多的新风险、新挑战做出的积极回应。

识别社会保护政策与传统社会政策尤其是社会保障政策的差别是本研究的重点。为此，文章选择从基本理论、政策框架、具体实施等维度对社会保护展开研究。首先分析了与传统社会保障政策相比，社会保护政策基本理念的变化以及社会保护政策产生的理论支撑，以更好地厘清社会保护与传统社会保障政策的区别。在此基础上文章进一步将目前国际社会存在的关于社会保护的不同理解归为三类：风险管理型社会保护政策、发展型社会保护政策和权利本位型社会保护政策。风险管理型社会保护政策强调通过风险管理，特别是风险的预防来减少贫困的发生率；发展型社会保护政策重视的是社会保护对经济生产的正面贡献，强调要投资于人力资本，提升人的自我发展能力；而权利本位型社会保护政策则从权利视角出发，着眼于变革不平等的社会关系，促进公民社会权利的实现。对社会保护政策框架的梳理是把握社会保护政策区别于社会保障政策的核心所在。

要全面理解一项政策，除了要把握它的基本理念、政策内容外，还不能忽略其实施。因此，在对社会保护相关理论进行分析后，本研究从理论层面转向实践层面，分别选取了欧盟社会保护政策执行的机制——社会开放协调法，英国社会保护政策实施的新模式——“准契约化”，以及以“智利团结计划”为例的发展中国家社会保护项目的实施，对国外社会保护政策的实施进行了详细分析。在此

基础上进一步总结了社会保护政策实践的成功经验、存在的问题及得出的教训。

通过对国外社会保护政策的研究，本研究得出如下结论：诞生于工业化社会、由政府控制下的、以社会公平为核心价值、以收入再分配为主要干预手段、以满足公民基本生存需要为主要目标的社会保障政策，对于如何在经济全球化背景下以及风险社会中继续保持和增进人类福祉的问题，很难再做出有效回应。鉴于此，本研究提出，新的社会保护政策，其目标定位要由生存型向发展型转变；政策重心要由提供基本收入支持向同时包含收入保护、贫困预防、能力提升和权利保护这四大要素转变，政策干预手段要由国民收入的再分配转向对社会关系（权利和地位）等非经济因素的分配；政策实施要由单一政府保护向由政府、市场、公民社会和公民个人协同合作的社会自我保护转变。最后本研究指出，未来中国社会保障改革的走向是通过吸收社会保护的合理因素，向更加开放、包容的社会保护政策转变。

**关键词：**社会保护；社会保障；社会风险；社会投资；社会权利

## Abstract

Social protection is a new topic that emerges in the international development agenda since the late 1990s, and it is used more frequently, has the potential of replacing the traditional social security, which has been predominated in international social policy research. However, social protection has not received enough attention in China, and its frequency of use still very low. The practical experience abroad provides a very good sample to carry out research in this field. Given this, the research chooses social protection as its object, by studying its theory and practice, the paper aims to provide some references for China's social security reform.

The research starts with combing the evolution of social protection, and analyzes how does social protection evolves from the earliest social insurance to the present social protection step by step. The tortuous evolution process reflects the change of social development needs profoundly. The rise of social protection in the international development agenda can be viewed as a reflection of the inefficiencies of traditional social policies in coping with poverty and also a positive response to the increasing risks and challenges under the background of globalization.

The identification of differences between social protection and the traditional social policies, especially social security is the key point of this research. Therefore, the paper chooses to study social protection from its basic theories, policy frameworks, and concrete implementations and so on. Firstly, it explores the change of the fundamental idea of social protection compared with the traditional social security, and its theoretical support, in order to further clarify the differences between social protection and social security. Based on this, the paper divides the different understandings of social protection among various development institutions and researchers into three categories: social protection as social risk management, development-oriented social protection policies and the right-based social protection policies. Social risk management policy emphasizes on reducing the poverty incidence through risk management, especially risk prevention measures; Development-oriented social protection policy attaches great importance to the

positive effects of social protection to economic growth, demands to invest in human capital, and improves individual's self development ability; While the rights-based social protection policy aims at changing unequal social relations, and promoting the realization of civic social rights. The analysis of social protection policy framework is critical to the comprehensive understanding of social protection.

To fully understand a policy, besides grasp its basic ideas and contents, the implementation of policy should be considered too. Therefore, after the analysis of related theories, the study makes a detailed analysis of specific implementation and practice of the social protection abroad, and selects EU's social protection implementation mechanism --Social OMC, the British' new implementation model - "quasi-contractual", and the developing countries' social protection program practice with the case of "Chile Solidario" separately. On this basis, the research further summarizes the successful experiences of social protection practice, its problems and lessons.

By researching on the social protection policies abroad, the study concludes that: social security policy, which was born in industrial society, controlled by the government, with social justice as its core value, income redistribution as its main intervention and the satisfaction of citizens' basic survival needs as its main target, can no longer make effective responses to the issues of how to continue to maintain and enhance human well-being under the background of economic globalization, and in the risk society. In view of this, the new social protection policy, its target should changes from survival type to development-oriented; its contents should not be restricted to provide basic income support, but include all the following elements: income protection, poverty prevention, capability improvement and rights protection; its interventions should change from redistribution of national income to the distribution of non-economic factors such as social relations( rights and status); its implementation should transform from single government protection to social self protection with cooperation of government, market, civil society and individual citizens. In the end, the study points out that the future trend of China's social security reform should move towards social protection policy, which is more open and



inclusive, to replace the negative and rigid social security policy.

**Key words:** Social Protection; Social Security; Social Risk; Social Investment; Social Right

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